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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/788,316	02/16/2001	E. Neil Lewis	S0001-009002	7045
7590 Kristofer E. Elbing 187 Pelham Island Road Wayland, MA 01778		04/13/2007	EXAMINER LAVARIAS, ARNEL C	
			ART UNIT 2872	PAPER NUMBER
SHORTENED STATUTORY PERIOD OF RESPONSE 3 MONTHS			MAIL DATE 04/13/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

**Office Action Summary**

Application No.

09/788,316

Applicant(s)

LEWIS ET AL.

Examiner

Arnel C. Lavarias

Art Unit

2872

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 29 January 2007.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1,11-14,16,17,25,28-30,33-38,40,41,46-58,65 and 66 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,11-14,16,17,25,28-30,33-38,40,41,46-58,65 and 66 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 16 February 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 1/29/07 has been entered.

### ***Drawings***

2. The cancellation of previously added Figures 8-12 is acknowledged and accepted. In view of this amendment, the originally drawings received on 2/16/01 are acceptable.

### ***Response to Amendment***

3. The amendments to the specification of the disclosure in the submission dated 1/29/07 are acknowledged and accepted. In view of these amendments, the objections to the specification in Sections 8-9 of the Office Action dated 12/20/05 are respectfully withdrawn.
4. The amendments to Claims 1, 11, 40-41, 58 in the submission dated 1/29/07 are acknowledged and accepted. In view of these amendments, the objections to the claims in Section 10 of the Office Action dated 12/20/05 are respectfully withdrawn.

***Response to Arguments***

5. The Applicants' arguments with respect to Claims 1, 11-14, 16-17, 25, 28-30, 33-38, 40-41, 46-58, 65-66 have been considered but are moot in view of the new ground(s) of rejection.
6. Claims 1, 11-14, 16-17, 25, 28-30, 33-38, 40-41, 46-58, 65-66 are rejected as follows.

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1, 11, 28, 30, 33, 41, 46-49, 58, 66 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kley et al. (U.S. Patent No. 6172743), of record, in view of Erickson (U.S. Patent No. 5440388), of record, and Malin et al. (U.S. Patent No. 6236047), of record.

Kley et al. discloses a chemical imaging spectrometer and chemical imaging spectrometry method (See for example Figures 1-5), the spectrometer and method both comprising an array of broadband illumination sources of the same type (See for example 3A, 3B in Figure 1, which are both LED's), such as semiconductor-based sources, LED's, or infrared or near-infrared sources (See 2, 3A, 3B in Figure 1; col. 4, line 65-col. 6, line 11; col. 9, line 65-col. 10, line 20), positioned to differently illuminate different

parts of a detection area (See 6 in Figure 1) by directing a plurality of differently directed beams of broadband light that each include energy at different wavelengths (See for example col. 2, lines 26-42) toward the detection area from at least first and second different illumination source positions at the same time; the illumination source including a first illumination source at the first location and a second illumination at the second location, the locations being on the same side of the sample surface (See specifically 2, 3A, 3B in Figure 1, wherein the sources are all spatially located at different locations on the same side of the sample surface); an image detector (See 8 in Figure 1; col. 2, lines 49-54; col. 6, lines 12-59), such as a multi-element detector array, positioned at a third position different from the first and second positions to receive infrared light from the sources reflected (See especially col. 12, lines 41-55, wherein the disclosed transmission measurements may also be performed via reflectance by placing the detection system near the light source, i.e. the sources and detectors are located on the same side of the sample surface) off of the different parts of a sample surface in the detection area; a tunable filter positioned between the sample and the infrared image detector (See col. 6, lines 13-37) for selecting wavelengths of interest from the broadband source after it has reflected off the same surface; and a spectroscopic signal output (See 8, 7, 9 in Figure 1) responsive to relative amounts of infrared light from the different ones of the plurality of beams in different spectral regions received by the detector after reflection off of the different parts of the sample surface in the detection area (See col. 8, line 50-col. 10, line 20) and operative to convey two-dimensional information (See col. 7, lines 30-40), for example at different wavelengths of the source. Kley et al additionally discloses a curved

reflector for collimating the light from the sources (See 1 in Figure 1; col. 8, lines 50-56); the sources (See 3A, 3B in Figure 1) illuminating the sample with at least a first beam and a second beam at the same time (See col. 9, lines 8-38); the beam also being concentrated by focusing (See for example col. 5, line 1-9; col. 5, lines 43-55); a plurality of narrow-band dielectric filter elements located in an optical output path of at least one of the sources (See 4A, 4B, 5A, 5B in Figure 1; col. 5, lines 29-42). Kley et al. also discloses the illumination sources being positioned to illuminate different sub-areas of the detection area and a first portion of the beams overlapping within the sample area (See Figure 1). The Examiner notes that light from each source 2, 3A, 3B of Figure 1 will overlap each other and illuminate a different portion of the detection area (i.e. the finger 6 in Figure 1). The combined illumination of the sources will fully illuminate the finger. Kley et al. also discloses a plurality of reflectors each located in an optical path between one of the sources and the detector (See for example 1, 29 in Figure 4A).

Kley et al. discloses the invention as set forth above, except for the detector being a two-dimensional, multi-element infrared image detector, wherein the spectroscopic signal output is operative to convey two-dimensional spatial information about chemical properties of the sample surface based on the relative amounts of infrared light from the different beams received by the detector after reflection off of the different parts of the sample surface. However, the use of two-dimensional infrared detection arrays is well known in the art for chemical and spectroscopic imaging applications. For example, Erickson teaches a conventional chemical analysis and imaging system (See for example Figure 2), wherein an array of infrared illumination sources, the various sources in the

array possibly having different infrared wavelengths, is used to generate incident infrared light onto a sample (See 10 in Figure 2; col. 1, lines 20-32; col. 13, line 52-col. 14, line 61; col. 17, line 14-col. 18, line 22). The infrared light either transmitted or reflected from the sample surface (See 15 in Figure 2) is detected by a two dimensional array of infrared detectors, producing two-dimensional spatial information about chemical properties of the sample surface (See 12 in Figure 2; col. 7, line 54-col. 8, line 29; col. col. 10, line 34-col. 11, line 18; col. 15, line 45-col. 16, line 12). Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the detector be a two-dimensional multi-element infrared image detector, wherein the spectroscopic signal output is operative to convey two-dimensional spatial information about chemical properties of the sample surface based on the relative amounts of infrared light from the different beams received by the detector after reflection off of the different parts of the sample surface, as taught by Erickson, in the spectrometer and method of Kley et al., to take advantage of time multiplexing of the acquisition of data, since no rastering is required, and multiple data at multiple locations are acquired at the same time (this effectively reduces the amount of time required to obtain thousands of data points at multiple locations on a sample).

In addition, the combined teachings of Kley et al. and Erickson disclose the invention as set forth above. Though Kley et al. suggests that the disclosed transmission measurements may also be performed in reflectance such that the sources and the detectors may be located on the same side of the sample surface (Again, see Figure 1; col. 12, lines 41-55 of Kley et al.), the combined teachings of Kley et al. and Erickson do not

explicitly disclose the first illumination source position and the third position of the two-dimension infrared image detector are each on a same side of the detection area to define a first reflecting angular path, which goes from the first illumination source position to the detection area and then continues on to the third position of the two-dimensional infrared image detector, and the second illumination source position and the third position of the two-dimension infrared image detector are each on the same side of the detection area to define a second reflecting angular path, which goes from the second illumination source position to the detection area and then continues on to the third position of the two-dimensional infrared image detector, i.e. a plurality of different reflecting angular paths defined by the plurality of differently directed beams from the source to the sample surface to the detectors. However, such spectral reflection measurements are known and conventional in the art. For example, Malin et al. teaches an apparatus for determining the concentration of an analyte present in a sample (See Figures 1A, 1B). Specifically, Malin et al. teaches an array of sources (See for example 12 in Figure 1A; col. 9, lines 21-39). Each of the sources, which necessarily must be at different spatial locations, directs its own emitted light toward the sample surface (See for example 16 in Figure 1A), and the lights reflected from the sample surface are directed to the array of detectors (See for example 26 in Figure 1A; col. 10, lines 49-67). Clearly, each source provides emitted light having different angular paths toward the sample surface and then toward the array of detectors. Thus, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the first illumination source position and the third position of the two-dimension infrared image



detector be each on a same side of the detection area to define a first reflecting angular path, which goes from the first illumination source position to the detection area and then continues on to the third position of the two-dimensional infrared image detector, and the second illumination source position and the third position of the two-dimension infrared image detector be each on the same side of the detection area to define a second reflecting angular path, which goes from the second illumination source position to the detection area and then continues on to the third position of the two-dimensional infrared image detector, i.e. a plurality of different reflecting angular paths defined by the plurality of differently directed beams from the source to the sample surface to the detectors, as taught by Malin et al., in the method and apparatus of Kley et al. and Erickson, to expand the range of uses for the apparatus and method to include more translucent tissues, as well as skin, muscle, bone, cartilage and other anatomical features that are reflective to the wavelengths of light in use, as well as obtain additional spectral information that would not necessarily be obtained only by spectral transmission measurements.

9. Claims 14, 16-17, 25, 29, 40, 57 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kley et al. in view of Erickson and Malin et al.

With respect to Claims 14, 40, 57, Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claims 1 and 41, except for the sources being substantially the same. It is well known in the art to utilize multiple sources that are exactly the same to increase the amount of light flux incident on the sample. Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention

was made to have the sources be substantially the same for the purpose of increasing the amount of light incident on the sample, and hence increase the signal-to-noise ratio of the measurement system.

With regard to Claims 16-17, Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claim 1. Kley et al. further discloses placing the sources near the detection area (See Figure 1 of Kley et al.). Kley et al. in view of Erickson and Malin et al. does not explicitly disclose the spectrometer being either a microscopic or macroscopic instrument. The Examiner notes that the above limitations serve to adjust the luminous flux incident on the sample and adjust the image size of the detected luminous flux. Having the spectrometer be either a microscopic or macroscopic instrument is merely that of preferred embodiments, and that no criticality has been disclosed in the specification of the disclosure. The reasons for having the spectrometer be either a microscopic or macroscopic instrument are given for example on Pages 3 and 11 of the specification of the disclosure. Thus, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the spectrometer be either a microscopic or macroscopic instrument, since one skilled in the art would have known to 1) design the size of the instrument appropriately based on optical performance and cost, and 2) design the optical portion of the instrument to provide the appropriate amount of light onto the sample at the detection area, and adjust and route the light to be detected to the appropriate detection system, all these based on optical performance, cost, and intended use of the instrument.

With regard to Claim 29, Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claim 1, except for the sources being connected to a single power supply. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the sources be connected to a single power supply, since one skilled in the art would know that one would drive a number of such sources with a single power supply to reduce the cost and complexity of the voltage/power supplying system.

With regard to Claim 25, Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claim 1, except for the sources being, for example, incandescent sources. However, the use of incandescent sources (e.g. quartz-tungsten-halogen bulb) in the apparatus is merely that of a preferred embodiment. No criticality for the use of such sources has been disclosed in the specification of the disclosure, and that the reasons for the use of such sources are given for example on Pages 3 and 8 of the specification of the disclosure. Thus, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the sources be incandescent sources, since one skilled in the art would know to choose the appropriate light illumination sources based on requirements of wavelength, output power, and design considerations, such as cost, size and weight.

10. Claims 34-36, 65 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kley et al. in view of Erickson and Malin et al. as applied to Claim 1 above, and further in view of Henderson et al. (U.S. Patent No. 3910701), of record.

With regard to Claims 34-35, 65, Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claim 1, except for the apparatus further comprising a circular support for the array of sources which surrounds an optical path from the detection area to the detector, wherein the detection area is located along a central axis of the circular support and wherein the support surrounds an optical path from the detection area to the detector. However, Henderson et al. teaches a method and apparatus for spectroscopic measurements (See for example Figures 2-3, 5-6), wherein a plurality of light sources (See for example 16a, 17c in Figure 3), such as LED's, is mounted on a circular support (See 13 in Figure 3; 15 in Figure 5), and the detection area (See 21 in Figure 3; 112 in Figure 5) is located along a central axis of the circular support, which surrounds an optical path from the detection area to the detector (See for example 18 in Figure 3; 106 in Figure 5). Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the detection area be located along a central axis of the circular support and wherein the support and array of sources surround an optical path from the detection area to the detector, as taught by Henderson et al., in the apparatus of Kley et al. in view of Erickson and Malin et al., for the purpose of rigidly supporting the plurality of light sources, while reducing the size and weight of the system.

With regard to Claim 36, Kley et al. in view of Erickson and Malin et al., and further in view of Henderson et al. discloses the invention as set forth above, except for the detector being a part of a microscope. Having the detector be a part of a microscope is merely a recitation of a preferred embodiment, and no criticality has been cited for

having the detector be a part of a microscope. The reasons for having the detector be a part of a microscope are given for example on Pages 3 and 10-11 of the specification of the disclosure. Thus, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the detector be a part of a microscope to reduce the size, weight, and cost of the optical system, since the microscope and the spectrometer are now integrated onto a single device.

11. Claim 38 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kley et al. in view of Erickson and Malin et al.

Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claim 1, except for the detector including a plurality of detector elements, such as a linear detector array, wherein the detection area is divided into a plurality of detection sub-areas, and wherein each of the detector elements is aligned with one of the detection sub-areas. However, Malin et al. additionally teaches an apparatus for determining the concentration of an analyte present in a sample (See Figures 1A, 1B) as set forth above. In particular, Malin et al. teaches using an array of detectors (See 18B in Figure 1B; 60 in Figure 2A, 2B). Additionally, it is well known in the art of optical spectroscopy to divide the detection area/sample into small regions which are aligned with detector array elements designed to detect emission only from those regions, i.e. spatial or hyperspectral imagery (See for example Erickson). Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the detector include a plurality of detector elements, such as a linear detector array, wherein the detection area is divided into a plurality of detection sub-areas, and wherein

each of the detector elements is aligned with one of the detection sub-areas, as additionally taught by Malin et al., in the spectrometer of Kley et al. in view of Erickson and Malin et al., for the purpose of providing spectroscopic measurement information based on location on the sample.

12. Claims 12-13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kley et al. in view of Erickson and Malin et al.

Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claim 1, except for the reflectors being generally either parabolic or ellipsoidal. It is noted that the shape of the reflectors, whether planar, parabolic, ellipsoidal, or other non-standard shapes, is dictated by the optical design of the spectroscopic apparatus, and the choice of using a particular shaped reflector is dependent on whether the incoming light is required to be focused, collimated, or dispersed as the light is reflected off the surface. Therefore, it would have been well within the skill of worker in the art to have the reflector be parabolic or ellipsoidal for the purpose of reducing the number of optical elements required, since such reflectors additionally perform collimating and focusing functions, as well as light-reflecting functions.

13. Claims 37, 50-56 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kley et al. in view of Erickson and Malin et al. as applied to Claims 1, 41 above, and further in view of Miller et al. (U.S. Patent No. 6373568), of record.

Kley et al. in view of Erickson and Malin et al. discloses the invention as set forth above in Claims 1, 41, except for a spectral matching module responsive to the spectroscopic signal output and operative to perform spectral matching operations with

one or more known substances or samples, such as pharmaceuticals, pathological, or biological samples. It is well known in the art of optical spectroscopy to compare measured or detected optical spectra to reference optical spectra for the purpose of identification. Additionally, Miller et al. teaches a spectral imaging system (See for example Figure 4a) utilizing a plurality of sources (See 1 in Figure 4a; 10a-j in Figure 1) wherein a computer and associated program (See 63, 64 in Figure 4a) are used to perform weighting function calculations on spectral information such that further collected spectral data can be compared with this information to identify the samples (See Abstract; col. 4, lines 14-27; col. 9, line 11-col. 10, line 34). Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to include a spectral matching module responsive to the spectroscopic signal output and operative to perform spectral matching operations with one or more known substances or samples, such as pharmaceuticals, pathological, or biological samples, as taught by Miller et al., in the spectrometer of Kley et al. in view of Erickson and Malin et al., for the purpose of providing automated, highly accurate means of sample identification.

### ***Conclusion***

14. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Arnel C. Lavarias whose telephone number is 571-272-2315. The examiner can normally be reached on M-F 9:30 AM - 6 PM EST.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Stephone B. Allen can be reached on 571-272-2434. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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4/9/07

  
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